

NAVFACINST 5200.35A
FAC 915
20 June 1996

NAVFAC INSTRUCTION 5200.35A

From: Commander, Naval Facilities Engineering Command

Subj: DIRECTIVES, REPORTS AND FORMS PROGRAMS

Ref: (a) SECNAVINST 5215.1C, Department of the Navy Issuance System
(b) SECNAVINST 5210.11C, Department of the Navy Standard Subject Identification Codes
(c) SECNAVINST 5214.2B, Department of the Navy Reports Management Program
(d) SECNAVINST 5213.10D, Department of the Navy Forms Management Program

1. Purpose. To set forth policy for the Naval Facilities Engineering Command (NAVFACENGCOM) governing: (a) authority; (b) when to issue a directive; (c) approval and assignment of numbers to proposed directives; (d) frequency of revisions to or reissuance of directives; (e) who can sign directives; (f) distribution of directives; (g) typical directive format; (h) directive writing style; (i) establishment of new instructions; (j) when to assign a report control number to an information request; (k) approvals of proposed reports; (l) duration of reports; (m) establishment of new reports; (n) control of the burden of reports; (o) control of the numbers and complexity of forms; (p) certification of necessary forms; (q) approval and assignment of numbers to proposed forms; and (r) support of forms with directives.

2. Cancellation. NAVFACINST 5200.35 of 18 August 1987 is hereby canceled and superseded by NAVFACINST 5200.35A.

3. Definitions.

a. Directives. A written numbered system of policy and commands issued as instructions or notices to delegate authority or require specific action.

(1) Instructions. Directives that have continuing reference value or require continuing action. Instructions may be amended by change transmittals.

(a) Overage Instructions. Unexempted instructions that are at least seven years old.

(b) Exempted Instructions. Joint interservice or Secretary of the Navy instructions.

(c) Extended Instructions. Overage instructions that are approved will continue for up to one year.

(2) Notices. Directives that have temporary reference value with a self-cancellation date or a contingency cancellation clause.

b. Reports. Transmissions of data or information systematically collected by one organization and transmitted to another organization to meet an authorized management requirement. The data may be transmitted by paper documents, magnetic tapes, terminal responses, etc., on a one time or recurring basis. A Report Control Symbol (RCS) is the license for the collection of data or information. The symbol consists of the command abbreviation, Standard Subject Identification Code (SSIC) number and a consecutive number that reflects the next authorized report in that series. The RCS on a report means that data collection requirement has been reviewed and is authorized. An example is "Report Control Symbol NAVFAC 4000-1."

c. Forms. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information.

(1) Local Forms. Forms that are developed, approved and utilized within a local or limited area such as an activity, office or department.

(2) NAVFACENGCOM Standardized Forms. Forms bearing designated NAVFACENGCOM numbers that are developed, approved and utilized in conformance with prescribed standards for use over a wide area.

(3) NAVFACENGCOM Sponsored DOD Forms. Department of Defense (DOD) forms delegated for maintenance purposes to NAVFACENGCOM.

4. Policy.

a. Authority. The Director, Administrative Services Division, Code 915, shall establish policy on Headquarters and field activities directives, reports and forms programs. The Director, Code 915 shall serve as approval authority for Headquarters' directives, reports and forms. Approval authority is delegated to the Commanders, Commanding Officers and Officers in Charge at the field activities to establish policy and manage their directives, reports and forms programs in accordance with this instruction and references (a) through (d).

b. When to Issue a Directive. A document shall be issued exclusively in the directives issuance system when it does one or more of the following:

(1) Contains authority or information that must be promulgated formally.

(2) Regulates or is essential to effective administration.

- (3) Establishes policy or organizational structure.
- (4) Delegates authority or assigns responsibility.
- (5) Assigns missions or tasks.
- (6) Establishes procedures, standards, guide or methods of performing duties, functions or operations.
- (7) Establishes reporting requirements, either one-time or recurring.
- (8) Issues new or revised forms.

c. Approval and Assignment of Numbers to Proposed Directives. All NAVFACENGCOM directives for higher authority signature shall be prepared in draft and final form in accordance with references (a) and (b), in addition to the provisions of this instruction and forwarded to the Administrative Services Division, Code 915, for clearance, corrections and approval before signature. The signed directive shall then be submitted to the Administrative Services Division, Code 915, for issuance.

- (1) All directives shall be assigned a number by Code 915 from reference (b).
- (2) Revised instructions shall be assigned letters after the directive number, such that each subsequent one has the next letter in the alphabet.

d. Frequency of Revisions to or Reissuance of Directives. Selected pages may be changed, added or deleted and distributed with explanation on a transmittal sheet when minor changes become necessary. Before an instruction reaches overage status, it shall be canceled, revised or reissued under a current date regardless of its page length.

(1) Before sponsoring codes instructions become 6½ years old, Code 915 shall notify them of command policy to automatically cancel an instruction unless a proposed reissuance or revision is provided within five months.

(2) Sponsoring codes of unexempted instructions that are at least 6.5 years old shall request extended status or submit a final camera ready reissuance within 40 work days after receiving notification that an instruction is within six months of becoming overage.

(a) The sponsoring code shall have 20 additional workdays to make any unanticipated corrections to a proposed reissuance.

(b) Sponsoring codes shall limit requests for authorization for extended status to those requiring substantive revisions that are necessary for NAVFACENGCOM to comply with

substantive changes in legal, regulatory or higher echelon requirements. Expectations of forthcoming higher echelon directives on the subject shall not normally justify a delay in reissuance of a potentially overage instruction.

e. Who Can Sign Directives.

(1) The Commander or Vice Commander shall sign all joint instructions prepared in conjunction with Department of the Army, Department of the Air Force or with other commands, bureaus or offices of the Department of the Navy, and instructions and notices addressed to all ships and stations.

(2) All other instructions and notices may be signed at the following organizational levels:

- Commander
- Vice Commander
- Assistant Chief of Civil Engineers
- Directors
- Comptroller
- Counsel
- Inspector General
- Chief Engineer
- Executive Assistant to the Commander

(3) In the absence of an authorized signer, instructions and notices shall be signed by an individual formally delegated into a full acting capacity or forwarded to the office of the Commander.

(4) Authorized signature identification includes the name and functional title of the signer, except for those signed by the Commander.

(5) Proposed explanatory briefs for NAVFACENGCOM originated directives to be signed by the Secretary of the Navy or Chief of Naval Operations shall be signed by the Commander or Vice Commander only.

f. Distribution of Directives. Directives shall be submitted to Code 915 with complete distribution lists prepared by sponsors with the use of the Standard Navy Distribution List (SNDL) codes.

(1) A distribution statement defines the quantity intended for each SNDL code.

(2) After the distribution statement, the address at which the directive is stocked shall be included.

(3) Except when specifically certified in writing by Directors as not feasible, sponsors of directives shall request distribution volumes of no more than half the totals for the most previous or closest comparable version issued when at least three years have lapsed since the date of the last version.

g. Typical Directive Format. Spacing shall conform with the general format exhibited in this implementing directive. Exact wording of subheadings may vary slightly, but each directive shall have the following:

- (1) A title representative of its scope.
- (2) A statement of purpose that summarizes all subheadings.
- (3) Explicitly defined scope and responsibilities.
- (4) Any resultant cancellations.

h. Directive Writing Style. Narrative shall avoid a pattern of redundant amplification, convoluted organization, the passive tense, sentences with multiple verbs, modifiers separating subject from verbs and multi-syllabled words when simpler ones will do.

(1) Use the acronym NAVFACENGCOM to make multiple mention of the Naval Facilities Engineering Command except when NAVFAC appears as the prefix to a document number.

(2) Write policy and action statements predicated by “shall”--which conveys an order to perform--as distinct from “will” or “must”--which convey only a prediction or description of condition.

(3) Eliminate most background or discussion paragraphs--especially when they serve only to emphasize the importance of the directive.

i. Establishment of New Instructions. The addition of a new instruction requires simultaneous cancellation of an existing one or further merging by the sponsoring code.

j. When to Assign a Report Control Number to an Information Request. A report control number shall be approved by Code 915 and assigned to all recurring or one-time information requests that do not fit into at least one of the following ten exclusions:

- (1) Substantive intelligence reporting.
- (2) Information or documentation such as edit, error, audit, transaction listing, reports of inspection, personnel payrolls and time sheets. Also excluded are information or

documentation processed and/or transmitted within an operational system, e.g. Military Standard Requisition and Issue Procedures (MILSTRIP), which include requisitions, material release orders, supply status notices, back order release notices, etc. However, summary and statistical reporting and other evaluative outputs of reports transmitted to higher echelons, such as an Aged Requisition Report, are not exempt.

(3) Reports of findings, recommendations or actions prepared by an official committee, board, survey team, study group or task force.

(4) Comments or concurrence that are a part of the routine clearance of proposed actions or publications, recommendations or evaluations as to existing or proposed plans, policies, procedures, organizations, missions, publications, agenda or courses of actions.

(5) Public information releases.

(6) Reports of audit, internal review, investigation of changes, a complaint, a claim or a violation of law or regulation. Information required to prepare the final published audit report is not exempt from the provisions of this directive.

(7) Counterintelligence, personnel security and other investigative surveys and reports.

(8) Reports of individuals such as savings bond participation, conflict of interest statements, financial statements, nominations or recommendations for awards and medical or dental documents.

(9) Routine request for cost estimates related to a specific information requirement.

(10) Issuances that promulgate information concerning imminent danger of life, health or property arising from dangerous or defective material.

k. Duration of Reports. A change transmittal shall be published under the number of the directive or publication establishing any report control number that is within two months of being three years old, such that the report control number is given a new date.

l. Establishment of New Reports. Command policy is such that the addition of any new report requires simultaneous cancellation of an existing one by the sponsoring code.

m. Control of the Burden of Reports. Program managers shall propose only reports that are essential to mission accomplishment and consistent with costs of preparation and processing.

(1) Only report requirements with a report control symbol less than three years old need be honored.

(2) Anyone may challenge the need for an authorized report by submitting OPNAV Form 5210/41, "Records Management Improvement Recommendation", to NAVFACENGCOM, Code 915.

n. Control of the Numbers and Complexity of Forms. Existing forms shall be utilized in lieu of creating new ones and be canceled, consolidated, simplified or standardized to the maximum extent possible.

o. Certification of Necessary Forms. Required annual certification to Code 915 by a sponsoring code of the need to maintain an existing form shall constitute a declaration that the form provides a necessary unique medium of communication as distinct from a remnant of a previously canceled report or an obsolete procedure.

(1) A form not certified by a sponsor with deadlines announced by Code 915 shall be automatically canceled.

(2) Code 915 shall initiate the annual form reviews and provide form sponsors with at least two weeks to respond.

p. Approval and Assignment of Numbers to Proposed Forms. Proposed forms shall be approved by Code 915 and developed, controlled, reproduced, maintained and stocked in accordance with reference (d) and this instruction. All forms shall be given an appropriate security classification and assigned a number for identification and control from reference (b), which provides for a combination numerical and functional file that relates forms to directives and reports. The form number assigned shall consist of the following elements:

(1) "NAVFAC" followed by the Standard Subject Identification Code (SSIC) number, a slash and a number to distinguish it from other forms relating to the same SSIC.

(2) Date of original issuance or date of revision, with month and year numbers enclosed in parenthesis. If the form is revised, the date of revision is preceded by "Rev."

EXAMPLES: NAVFAC 11200/1 (6-94)
NAVFAC 10550/2 (Rev. 2-93)

q. Support of Forms with Directives. NAVFAC Standardized Forms and forms to be stocked at centralized forms and publications supply points shall be issued with an associated governing directive to ensure proper use. Code 915 shall determine the need for issuance of a governing directive for local forms. In addition, forms prescribed for use and available from centralized stocking points shall normally not be transmitted as an enclosure to a directive unless hypothetical information is inserted as an example. Instead, a "Forms" paragraph in the directive should indicate the availability of the form and the stock number if known. Forms should be requisitioned in quantities limited to actual need.

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5. Action. Addressees shall comply with references (a) through (d) and all provisions of this instruction.

B. F. MURPHY, JR.
Comptroller

Distribution:

NAVFAC Internal List 2

FKN

Stocked:

Defense Distribution Depot - Susquehanna PA

Building 05

5450 Carlisle Pike

Mechanicsburg, PA 17055-0789